PATENT

Application No. 09/350,875 Attorney Docket No.: 98-113

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE.

Walker et al.

Application No.: 09/350,875

Filed: July 9, 1999

For: MULTI-TIER PRICING OF

INDIVIDUAL PRODUCTS BASED

ON VOLUME DISCOUNTS

Customer No. 22927

Group Art Unit: 3627

Examiner:

Gerald J. O'Connor

PETITION UNDER 37 C.F.R. §1.181

Attorney Docket No. 98-113

CERTIFICATE OF TRANSMISSION / MAILING

I hereby certify that this correspondence is being facsimile transmitted to the United States Patent and Trademark Office **OR** deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P. O. Box 1450, Alexardria, VA 22313-1450.

Dated: January 6, 2004 By:

Veronika S. Leliever

Mail Stop Petitions Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

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GROUP 3600

PETITION UNDER 37 C.F.R. § 1.181 INVOLVING AN EX PARTE ACTION WHICH IS NOT SUBJECT TO APPEAL

Points to be Reviewed

Whether an Examiner may hold an Application Abandoned for Failure to Respond less than seven months after a Notice of Appeal has been timely filed / received.

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OFFICE OF PETITIONS

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Summary of Facts Involved

Filing	Date
Final Office Action mailed	December 03, 2003
Notice of Appeal with sufficient extension fees filed	June 03, 2003
Notice of Appeal received by PTO	June 05, 2003
Notice of Abandonment mailed	December 15, 2003
Examiner Interview	January 05, 2004

- 1. The Examiner mailed a Notice of Abandonment for failure to respond to an Office Action only six months and ten days (i.e. less than seven months) after a timely Notice of Appeal was received by the PTO.
- 2. On January 02, 2004 Applicants submitted to the Examiner a written request for reconsideration of the Abandonment. This written request was preceded by multiple telephone requests to the Examiner. To the best of Applicants' knowledge, the Examiner has not withdrawn the Abandonment of the present Application.
- 3. On January 05, 2004, during a telephone interview between the Examiner and Applicants' representative, the Examiner indicated that although the Examiner received Applicants' request for reconsideration, the Examiner did not have the authority to change the status of the Application from that of Abandoned. The Examiner recommended that Applicants file a Petition to Revive.
- 4. An Appeal Brief was timely filed on January 05, 2004 with the required five months of extension fees.

Action Requested

In short, Applicants request that the Abandonment of the Application be withdrawn. Applicants specifically request that the Application be considered as never abandoned, and the Appeal Brief filed on January 05, 2004 (with sufficient fees for extension of time) be accepted as timely filed.

Full Statement of Facts Involved

On December 03, 2002 a Final Office Action was mailed for the present Application. The time period for reply to this Office Action was set at three months, this date being March 03, 2003.

On June 03, 2003 (six months from the mailing date of the Final Office Action),
Applicants filed a Notice of Appeal, accompanied by authorization to charge Applicants' Deposit
Account for three months of extension fees (in the amount of \$460.00).

On June 05, 2003 the Notice of Appeal was received and entered by the PTO, with the appropriate extension fees accepted. The accompanying File Contents History from the PTO's PAIR system demonstrates this fact.

On December 15, 2003, the Examiner mailed a Notice of Abandonment for Failure to Reply to an Office Action. This Notice of Abandonment was mailed less than seven months from the date the Notice of Appeal was received by the PTO.

From the period of December 15, 2003 to January 05, 2004 Applicants have telephone the Examiner multiple times to discuss the inappropriateness of the Abandonment of the Application, providing the Examiner with various authorities that support the fact that Applicants have up to seven months from the date the Notice of Appeal is filed in the PTO to file an Appeal Brief. The Examiner disagreed with Applicants' position.

On December 19, 2003 Applicants filed Petition for Extension of Time under 37 CFR 1.136(a), requesting a five month extension of time within which the Appeal Brief may be filed. The petition was accompanied by an authorization to charge Applicants' Deposit Account for the amount of \$1,005.00 (the appropriate fee for a five month extension of time). The result of this petition was to extend the time within which Applicants may filed the Appeal Brief to January 05, 2004. A return receipt postcard received by Applicants from the PTO indicates that this petition and authorization of payment of extension fees was received by the PTO on January 02, 2004. A copy of this return receipt postcard is attached hereto.

On January 02, 2003 (less than one month from the mailing date of the Notice of Abandonment), Applicants faxed to the Examiner a written request for reconsideration of the Abandonment and telephoned the Examiner, leaving a message indicating that the fax was sent. The faxed request for reconsideration again reiterated the authorities for the fact that Applicants have up to seven months from the date of the Notice of Appeal to file an Appeal Brief and requested that the Examiner withdraw the Abandonment. No response has been received from the Examiner regarding this fax. A copy of the fax, and the transmission confirmation from Applicants' fax machine, is attached hereto.

On January 05, 2004, during a telephone interview between the Examiner and Applicants' representative, the Examiner indicated that although the Examiner received and considered the Request for Reconsideration, faxed to the Examiner on January 02, 2004, the Examiner did not have the authority to change the status of Abandonment. A copy of the Interview Summary for this telephone interview is attached hereto.

On January 05, 2004, Applicants filed an Appeal Brief for the present Application.

Arguments

The Appeal Brief was timely filed within seven months of the date of the Notice of Appeal. Accordingly, the Application was prematurely and incorrectly held to be Abandoned for Failure to Reply to an Office Action.

- (1) 35 U.S.C. 134 pertains to Appeals to the Board of Patent Appeals and Interferences. This section of the statute does not set any maximum time periods for filing an Appeal Brief.
- (2) 35 U.S.C. 135 sets a six month maximum time period for replying to an Office Action; this section does not apply to Appeal Briefs.
- (3) An Applicant has two months from the date of appeal to file an Appeal Brief. The date of appeal is the date the PTO receives the Notice of Appeal. This time period for filing an Appeal Brief may be extended up to five months in addition to the two months initially allotted. MPEP 1206 (8th Editions).
- (4) 35 U.S.C. 136 authorizes the payment of fees for extensions of time within which to provide correspondence to the PTO.
- (5) The PTO has consistently and unambiguously interpreted 35 U.S.C. 136 as allowing up to seven (7) months after the date of the Notice of Appeal for filing an Appeal Brief, if the appropriate extension fees are paid.

See, for example, "Training and Implementation Guide for the Final Rule: Changes to Patent Practice and Procedure, effective December 1, 1997":

"Section 1.136: Section 1.136(a)(1) is amended to recite the availability of a maximum of five rather than four months as an extension of time, subject to any maximum period for reply set by statute. For example, when a one-month or 30-day period is set for reply to a restriction requirement or for completing a reply under §1.135(c), that period may be extended up to the six-month statutory (35 U.S.C. 133) maximum. In addition, as the two-month period set in § 1.192(a)

for filing an appeal brief is not subject to the six-month maximum period specified in 35 U.S.C. 133, the period for filing an appeal brief may be extended up to seven months." (emphasis added; available at http://www.uspto.gov/go/rules/changppp.htm).

See also, "Petitions Practice within the PTO on Patent Matters", Section (VI) (G), fourth paragraph:

"In addition, as the two-month period set in § 1.192(a) for filing an appeal brief is not subject to the maximum six-month maximum period, the filing of an appeal brief may be extended up to seven months by paying for a five-month extension of time." (available at http://www.uspto.gov/web/offices/pac/dapp/opla/petprac.htm#petexof).

(6) Since Applicants have filed an Appeal Brief for the present Application within seven (7) months of the date of the Notice of Appeal and paid the appropriate five months of extension fees, the Appeal Brief was timely filed. Accordingly, the Notice of Abandonment of the Application was prematurely issued and should be withdrawn.

Petition Proper

This petition is timely filed, having been filed within two months of the Notice of Abandonment for Failure to Reply to an Office Action mailed December 15, 2003. A request for reconsideration has been made to the Examiner, however the Examiner has maintained the Abandonment.

Conclusion

The Assistant Commissioner is hereby authorized to charge \$130.00 petition fee (37 CFR 1.17(h) to Deposit Account No. 50-0271. Order number 98-113. The Assistant Commissioner is further authorized to charge any additional fees which may be required for the submission of this paper, or credit any overpayment to Deposit Account No. 50-0271.

Furthermore, should an extension of time be required, please grant any extension of time which may be required to make this submission timely, and charge any fee for such an extension to Deposit Account No. 50-0271. A duplicate copy of this authorization is enclosed for such purposes.

Upon USPTO's finding that no petition fee is required in this instance, Applicants respectfully request a refund of the petition fee. Thank you for your consideration in this matter.

Respectfully submitted,

January 5, 2004 Date

Magdalena M. Finchach Attorney for Applicants Registration No. 46,085 Walker Digital, LLC

(203) 461-7041 /direct (203) 461-7300 /fax

Mfincham@walkerdigital.com

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Applicant(s): JAY S. W.	ALKER et al.		<u> </u>	98-113
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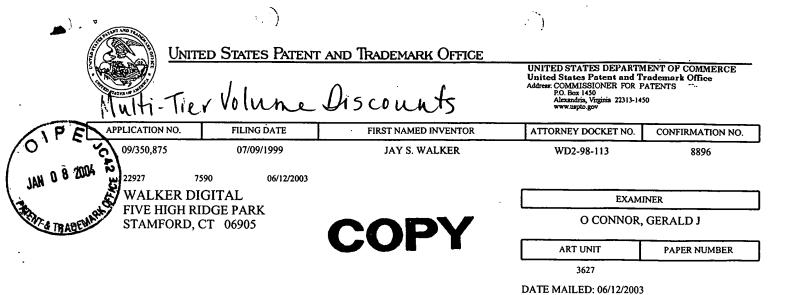
To: Examiner D'Connor	From: Magdalena Fincham
Fax:- 703-746-3976	Pages: 4 (including cover)
Phone: 703-305-1525	Date: 1/2/04
Re: App. 09 350, 875	Direct # 203-461-7091

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Please find below and/or attached an Office communication concerning this application or proceeding.

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Attorney: 99-113

Due Date: 09-12-03

Docketed: 06-16-03

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Applicant(s)

Walker et al

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There reject allow	REPLY FILED <u>June 5, 2003</u> FALL PLACE efore, further action by the applicant is required to a tion under 37 CFR 1.113 may only be either: (1) a tivance; (2) a timely filed Notice of Appeal (with appeal) in compliance with 37 CFR 1.114.	void the abandonment or mely filed amendment all fee); or (3) a timely fi	of this appli which place iled Request	cation. A pross s the applica	oper reply to a final tion in condition for
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1.🛛	A Notice of Appeal was filed on <u>June 5, 2003</u> 37 CFR 1.192(a), or any extension thereof (37 CF	R 1.191(d)), to avoid d	nust be filed lismissal of	l within the p the appeal.	eriod set forth in
2. 🗆	The proposed amendment(s) will not be entered be				
	they raise new issues that would require further		search (see	NOTE below)	;
	they raise the issue of new matter (see NOTE b	•			
	they are not deemed to place the application in issues for appeal; and/or				
(d)	they present additional claims without canceling	a corresponding numb	per of finally	rejected clai	ms :
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5.□	The a) ☐ affidavit, b) ☐ exhibit, or c) ☐ request application in condition for allowance because:	t for reconsideration ha	s been cons	sidered but d	pes NOT place the
6. 🗆	The affidavit or exhibit will NOT be considered bed by the Examiner in the final rejection.	ause it is not directed	SOLELY to i	issues which	were newly raised
7. 🕅	For purposes of Appeal, the proposed amendment(explanation of how the new or amended claims we	s) a) will not be ente	red or b)	will be enter	ed and an -
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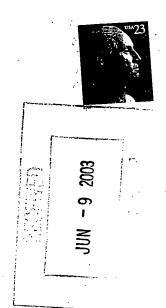
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Commissioner for Patents:

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Applicant:

WALKER et al.

Appl. No.: Filing Date:

Title:

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(98-113)

Sir:

Please acknowledge receipt of the following papers by stamping the date received on this card and returning the same to the addressee.

 Combined Notice of Appeal from the Primary Examiner to the Board of Patent Appeals and Interferences & Petition for Extension of Time, 2 pp., (x2).

Date mailed: June 3, 2003.

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TRANSMITTAL LETTER (General - Patent Pending)

Docket No. 98-113

After ation Of:

JAY S. WALKER et al.

Serial No. 09/350,875

Filing Date July 9, 1999

Examiner O'Connor, Gerald J. Group Art Unit

3627

GROUP 3600 50-0271

Title:

MULTI-TIER PRICING OF INDIVIDUAL PRODUCTS BASED ON VOLUME DISCOUNTS

TO THE COMMISSIONER FOR PATENTS:

Transmitted herewith is:

Applicants' Interview Summary, 1 pg.;and Return Receipt Postcard.

in the above identified application.

- No additional fee is required.
- A check in the amount of

is attached.

- The Director is hereby authorized to charge and credit Deposit Account No. as described below.
 - Charge the amount of
 - \boxtimes Credit any overpayment.
 - \boxtimes Charge any additional fee required.

Dated: January 6, 2004

Magdalena M. Fincham Attorney for Applicants PTO Registration No. 46,085 Walker Digital, LLC 203.461.7337/phone 203.461.7300/fax

CUSTOMER NO. 22927

Mfincham@walkerdigital.com

CC:

I certify that this document and fee is being deposited Chanuary 6, 2004 with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Signature of Person Mailing Correspondence

Veronika S. Leliever

Typed or Printed Name of Person Mailing Correspondence

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•	(General - Patent Pending)		98-113
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JAY S. WALKER et al.	JAN 0 8 2004) 	
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Title:			
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,	TO THE COMMISSIONER	FOR PATENTS:	
Transmitted herewith is:	Petition Under 37 C.F.R. 1.181 Involvin	ig an Ex Parte Action Whic	h Is Not Subject
to Appeal, 7 pp.; PAIR	Print Out of File Contents History, dated	January 5, 2004, 2 pp.; Co	py of Return Receipt
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Mfincham@walkerdigital.com

cc:

Signature of Person Mailing Correspondence

Veronika S. Leliever

Typed or Printed Name of Person Mailing Correspondence

JAN O B 2004 TO:

: Examiner O'Connor

FROM: Magdalena M. Fincham

RE: Application No. 09/350,875

Examiner O'Connor:

I understand there has been some confusion as to the maximum allowable time for extensions for filing an Appeal Brief. I have included below various authorities that clarify that an Appeal Brief may be filed up to 7 months from the time of filing a Notice of Appeal. I draw your attention in particular to the last item (#5) on the list below, which includes the PTO's unambiguous interpretations on this issue, as posted on the PTO website.

At this time, I would like to clear this issue up directly with you and request a withdrawal of the Abandonment, based on the authorities below. The Appeal Brief will be timely filed on Monday, January 5, 2004. If we cannot resolve this issue by that time, I will also be filing a Petition to the Commissioner on Monday, January 5, formally requesting a withdrawal of the Abandonment. I appreciate your time on this matter and hope to resolve it expeditiously. I invite you to call me at (203) 461 – 7041 or e-mail me at mfincham@walkerdigital.com to discuss this issue at any time.

Date: January 02, 2004

Magdalena M. Fincham

Reg. No. 46,085

Best Regards,

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(1). §1.136 Extensions of time.

(a)(1)If an applicant is required to reply within a nonstatutory or shortened statutory time period, applicant may extend the time period for reply up to the earlier of the expiration of any maximum period set by statute or five months after the time period set for reply, if a petition for an extension of time and the fee set in §1.17(a) are filed

(2). A maximum period for Office Actions is set by statute:

35 U.S.C. 133 Time for prosecuting application.

Upon failure of the applicant to prosecute the application within six months after any action therein, of which notice has been given or mailed to the applicant, or within such shorter time, not less than thirty days, as fixed by the Director in such action, the application shall be regarded as abandoned by the parties thereto, unless it be shown to the satisfaction of the Director that such delay was unavoidable.

(3). No maximum period for Appeal Briefs is set by statute

35 U.S.C. 134 is the part of the statute on Appeals to the Board. It does not set any maximum periods for anything.

(4). MPEP 1206 (8th Ed. page 1200-7)

"TIME FOR FILING APPEAL BRIEF

The usual period of time in which appellant must file his or her brief is 2 months from the date of appeal. The Office date of receipt of the notice of appeal (and not the date indicated on any Certificate of Mailing under 37 CFR 1.8) is the date from which this 2 month time period is measured.

In the event that the appellant finds that he or she is unable to file a brief within the time period allotted by the rules, he or she may file a petition, with fee, to the

...

Technology Center (TC), requesting additional time under 37 CFR 1.136(a). Additional time in excess of 5 months will not be granted unless extraordinary circumstances are involved under 37 CFR 1.136(b)."

NOTE IN PARTICULAR:

(5). The PTO unambiguously interprets this rule as allowing up to 7 months after the filing of the Notice of Appeal.

For example, see "Training and Implementation Guide for the Final Rule: Changes to Patent Practice and Procedure, effective December 1, 1997":

"Section 1.136: Section 1.136(a)(1) is amended to recite the availability of a maximum of five rather than four months as an extension of time, subject to any maximum period for reply set by statute. For example, when a one-month or 30-day period is set for reply to a restriction requirement or for completing a reply under §1.135(c), that period may be extended up to the six-month statutory (35 U.S.C. 133) maximum. In addition, as the two-month period set in § 1.192(a) for filing an appeal brief is not subject to the six-month maximum period specified in 35 U.S.C. 133, the period for filing an appeal brief may be extended up to seven months." (emphasis added; available at http://www.uspto.gov/go/rules/changppp.htm).

See also

"Petitions Practice within the PTO on Patent Matters", Section (VI) (G), fourth paragraph:

"In addition, as the two-month period set in § 1.192(a) for filing an appeal brief is not subject to the maximum six-month maximum period, the filing of an appeal brief may be extended up to seven months by paying for a five-month extension of time."

(available at

http://www.uspto.gov/web/offices/pac/dapp/opla/petprac.htm#petexof)



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Mondadallantillint Aimée J. Knoller Records Manager Walker Digital Management, LLC Five High Ridge Park Stamford, CT 06905

Commissioner for Patents:

Date Received:

App#cant:

WALKER et al

. No.:

g Date:

MULTI-TIER PRICING OF INDIVIDUAL PRODUCTS BASED

ON VOLUME DISCOUNTS

Sir:

Please acknowledge receipt of the following papers by stamping the date received on this card and returning the same to the addressee.

- Certificate of Mailing By First Class Mail (37 CFR 1.8), 1 pg.; and
- Petition for Extension of Time Under 37 CFR 1.136(a), 1 pg., (x2).

Date mailed: December 19, 2003.